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PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/805,598	
	Filing Date	March 12, 2001	
	First Named Inventor	Van Diep Nguyen	
	Group Art Unit	3628	
	Examiner Name	Unknown	
Total Number of Pages in This Submission	10	Attorney Docket Number	155603-0209 (P053)

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	191 References
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	RECEIVED AUG 06 2002 GROUP 3600
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Ben J. Yorks, Esq. Reg. No. 33,609 IRELL & MANELLA LLP
Signature	<i>Ben Yorks</i>
Date	July 30, 2002

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <u>July 30, 2002</u>	
Typed or printed name	Aimee V. Hilado
Signature	<i>Aimee V. Hilado</i>
Date	July 30, 2002

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PTO/SB/17 (11-01)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 00.00

Complete if Known

Application Number 09/805,598
Filing Date March 12, 2001
First Named Inventor Van Diep Nguyen
Examiner Name Unknown
Group Art Unit 3628
Attorney Docket No. 155603-0209 (P053)

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METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number
Deposit Account Name

09-0946

Irell & Manella LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Extra Claims Fee from below Fee Paid
Total Claims -20** = X =
Independent Claims -3** = X =
Multiple Dependent =

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	84	209	42	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	00.00
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 00.00

SUBMITTED BY

Name (Print/Type) Ben J. Yorks

Registration No.
(Attorney/Agent)

33,609

Complete (if applicable)

Telephone

(949) 760-0991

Signature

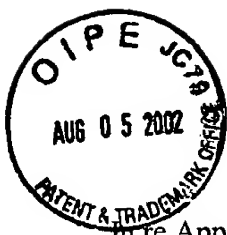
Ben Yorks

Date

July 30, 2002

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Nguyen, et al.

Application No.: 09/805,598

Filed: March 12, 2001

For: PROCESS AND DEVICE FOR DISPLACING A
MOVEABLE UNIT ON A BASE

Examiner: Unknown

Group Art: 3628

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GROUP 3600

INFORMATION DISCLOSURE STATEMENT

COMMISSIONER FOR PATENTS
Washington, D.C. 20231

Dear Sir:

In accordance with Applicant's duty of disclosure under 37 CFR §1.56, and in accordance with 37 CFR §§1.97-1.98, Applicant submits the enclosed Form PTO-1449, along with copies of the documents listed therein.

It is hereby stated that this Information Disclosure Statement is being filed prior to the issuance of the initial Office Action, and therefore, no petition or fee is required. However, in the event a petition is needed for consideration of this Information Disclosure Statement, Applicant hereby so petitions. Please charge any fee due to Deposit Account No. 09-0946. An extra copy of the Fee Transmittal is enclosed for Deposit Account charging purposes.

Respectfully submitted,

IRELL & MANELLA LLP

Dated: July 30, 2002

Ben Yorks
Ben Yorks, Reg. No. 33,609

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Aimee V. Hilado
Aimee V. Hilado

7/30/02

Date



Form PTO/SB/08A (Modified)

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 6

Complete if known

Application Number	09/805,598
Filing Date	March 12, 2001
First Named Inventor	Van Diep Nguyen
Group Art Unit	3628
Examiner Name	Unknown
Attorney Docket Number	155603-0209 (P053)

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code			
	1.	6,198,580		Dallakian	03/06/2001	
	2.	6,209,841		Houghton, Jr. et al.	04/03/2001	
	3.	5,946,023		Blanding	08/31/1999	
	4.	5,963,695		Joyce	10/05/1999	
	5.	6,016,230		Nunnally et al.	01/18/2000	
	6.	5,909,324		Bryant et al.	06/01/1999	
	7.	5,941,920		Schubert	08/24/1999	
	8.	5,852,519		Do et al.	12/22/1998	
	9.	5,880,894		Blakley	03/09/1999	
	10.	5,794,912		Whittaker et al.	08/18/1998	
	11.	5,745,633		Giebel et al.	04/28/1998	
	12.	5,930,057		Sechrist et al.	07/27/1999	
	13.	5,757,561		Sechrist et al.	05/26/1998	
	14.	5,765,800		Watanabe et al.	06/16/1998	
	15.	6,022,005		Gran et al.	02/08/2000	
	16.	5,825,558		Farmiga et al.	10/20/1998	
	17.	5,774,614		Gilliland et al.	06/30/1998	
	18.	5,748,821		Schempp et al.	05/05/1998	
	19.	5,761,360		Grois et al.	06/02/1998	
	20.	5,668,906		Yamamura et al.	09/16/1997	
	21.	5,737,132		Luecke et al.	04/07/1998	
	22.	5,717,804		Pan et al.	02/10/1998	
	23.	5,653,317		Wakui	08/05/1997	
	24.	5,751,877		Ishizaka et al.	05/12/1998	
	25.	5,655,045		Morlion et al.	08/05/1997	
	26.	5,619,609		Pan et al.	04/08/1997	
	27.	5,598,500		Crespel et al.	01/28/1997	
	28.	5,673,350		Song et al.	09/30/1997	
	29.	5,570,444		Janssen et al.	10/29/1996	
	30.	5,689,607		Vincent et al.	11/18/1997	
	31.	5,603,387		Beard et al.	02/18/1997	
	32.	5,725,066		Beard et al.	03/10/1998	
	33.	5,638,482		Winterhoff et al.	06/10/1997	
	34.	5,553,186		Allen	09/03/1996	
	35.	5,758,004		Alarcon et al.	05/26/1998	

Examiner: _____ Date Considered: _____

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609.
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FORM PTO/SB/08A (Modified)

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 2 of 6

Complete if known

Application Number	09/805,598
Filing Date	March 12, 2001
First Named Inventor	Van Diep Nguyen
Group Art Unit	3628
Examiner Name	Unknown
Attorney Docket Number	155603-0209 (P053)

36.	5,617,501	Miller et al.	04/01/1997
37.	5,793,921	Wilkins et al.	08/11/1998
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39.	5,530,785	Sakamoto et al.	06/25/1996
40.	5,530,547	Arnold	06/25/1996
41.	5,581,077	Chirovsky et al.	12/03/1996
42.	5,434,945	Burek et al.	07/18/1995
43.	5,428,225	Silva et al.	06/27/1995
44.	5,660,255	Schubert et al.	08/26/1997
45.	5,823,307	Schubert et al.	10/20/1998
46.	5,564,537	Shoureshi	10/15/1996
47.	5,410,145	Coroy	04/25/1995
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51.	5,563,972	Krausse et al.	10/08/1996
52.	5,337,383	DeAngelis et al.	08/09/1994
53.	5,528,718	Ray et al.	06/18/1996
54.	5,463,647	Pan	10/31/1995
55.	5,499,261	Welch et al.	03/12/1996
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57.	5,311,278	Rosencher	05/10/1994
58.	5,251,863	Gossman et al.	10/12/1993
59.	5,300,755	Nishitani et al.	04/05/1994
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61.	5,434,944	Kerry et al.	07/18/1995
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63.	5,218,610	Dixon	06/08/1993
64.	5,214,735	Henneberger et al.	05/25/1993
65.	5,321,539	Hirabayashi et al.	06/14/1994
66.	5,189,725	Bensel, III et al.	02/23/1993
67.	5,191,587	Hanson et al.	03/02/1993
68.	5,183,350	Kramer	02/02/1993
69.	5,289,559	Wilson	02/22/1994
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71.	5,194,993	Bedzyk	03/16/1993
72.	5,319,435	Melle et al.	06/07/1994
73.	5,218,258	Shirasu et al.	06/08/1993
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75.	5,138,496	Pong	08/11/1992
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Examiner: _____ Date Considered: _____

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Form PTO/SB/08A (Modified)

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet 3 of 6

Complete if known

Application Number	09/805,598
Filing Date	March 12, 2001
First Named Inventor	Van Diep Nguyen
Group Art Unit	3628
Examiner Name	Unknown
Attorney Docket Number	155603-0209 (P053)

77.	5,146,532	Hodge	09/08/1992
78.	5,132,824	Patel et al.	07/21/1992
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81.	5,044,719	Nakamura	09/03/1991
82.	5,179,618	Anton	01/12/1993
83.	5,000,415	Sandercock	03/19/1991
84.	5,077,747	Hemmer et al.	12/31/1991
85.	4,978,910	Knox et al.	12/18/1990
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89.	4,914,867	Saito et al.	04/10/1990
90.	4,915,482	Collins et al.	04/10/1990
91.	4,854,667	Ebata et al.	08/08/1989
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93.	4,913,527	Jessop	04/03/1990
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95.	4,850,671	Finzel	07/25/1989
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97.	4,842,397	Eisler	06/27/1989
98.	4,823,220	Milster et al.	04/18/1989
99.	4,807,750	Ryder et al.	02/28/1989
100.	4,782,223	Suzuki	11/01/1988
101.	4,779,959	Saunders	10/25/1988
102.	4,747,657	Chaoui et al.	05/31/1988
103.	4,938,564	Romero	07/03/1990
104.	4,787,691	Lorenzo et al.	11/29/1988
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106.	4,850,261	Greene	07/25/1989
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110.	4,701,013	Jurczynsyn et al.	10/20/1987
111.	4,679,908	Goodwin	07/14/1987
112.	4,714,315	Krause	12/22/1987
113.	4,708,429	Clark et al.	11/24/1987
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115.	4,759,600	Caron et al.	07/26/1988
116.	4,677,290	Mitch	06/30/1987
117.	4,746,195	Auracher et al.	05/24/1988

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Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609.
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Form PTO/SB/08A (Modified)

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 4 of 6

Complete if known

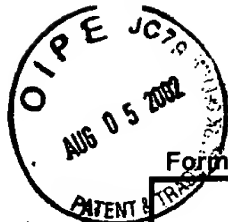
Application Number	09/805,598
Filing Date	March 12, 2001
First Named Inventor	Van Diep Nguyen
Group Art Unit	3628
Examiner Name	Unknown
Attorney Docket Number	155603-0209 (P053)

118.	4,702,556	Ishii et al.	10/27/1987
119.	4,623,220	Grabbe et al.	11/18/1986
120.	4,673,245	Kling et al.	06/16/1987
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122.	4,673,244	Miles	06/16/1987
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130.	4,479,698	Landis et al.	10/30/1984
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132.	4,500,165	Scholl et al.	02/19/1985
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135.	4,469,399	Cowen et al.	09/04/1984
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137.	4,387,956	Cline	06/14/1983
138.	4,664,732	Campbell et al.	05/12/1987
139.	4,355,323	Kock	10/19/1982
140.	4,350,867	Kinoshita et al.	09/21/1982
141.	4,332,469	Wendland	06/01/1982
142.	4,296,998	Dufft	10/27/1981
143.	4,316,678	F'Geppert	02/23/1982
144.	4,295,152	Khoe et al.	10/13/1981
145.	4,268,113	Noel, Jr.	05/19/1981
146.	4,403,243	Hakamada	09/06/1983
147.	4,237,474	Ladany	12/02/1980
148.	4,167,744	Nyul	09/11/1979
149.	4,357,072	Goodfellow et al.	11/02/1982
150.	4,164,363	Hsu	08/14/1979
151.	4,199,222	Ikushima et al.	04/22/1980
152.	4,144,504	Leggett et al.	03/13/1979
153.	4,079,404	Comerford et al.	03/14/1978
154.	4,088,396	Edelstein	05/09/1978
155.	4,030,811	Khoe et al.	06/21/1977
156.	4,119,363	Camlibel et al.	10/10/1978
157.	4,065,203	Goell et al.	12/27/1977
158.	3,917,201	Roll	11/04/1975

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Examiner: _____ Date Considered: _____

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Form PTO/SB/08A (Modified)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if known	
				Application Number	09/805,598
				Filing Date	March 12, 2001
				First Named Inventor	Van Diep Nguyen
				Group Art Unit	3628
				Examiner Name	Unknown
Sheet	6	of	6	Attorney Docket Number	155603-0209 (P053)

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GROUP 3600

180.	A. Schremer and C. L. Tang, "Single-Frequency tunable external-cavity semiconductor laser using an electro-optic birefringent modulator", Appl. Phys. Lett., Vol. 55, No. 1, 3 July 1989.
181.	M. W. Maeda, J. S. Patel, D. A. Smith, Chinlon Lin, M. A. Saifi, and A. Von Lehman, "An Electronically Tunable Fiber Laser with a Liquid-Crystal Etalon Filter as the Wavelength-Tuning Element", IEEE Photonics Technology Letters, Vol. 2, No. 11, November 1990.
182.	Katsuhiko Hirabayashi, Hiroyuki Tsuda, and Takashi Kurokawa, "Tunable Liquid-Crystal Fabry-Perot Interferometer Filter for Wavelength-Division Multiplexing Communication Systems", Journal of Lightwave Technology, Vol. 11, No. 12, December 1993.
183.	Stephen R. Mallinson, "Wavelength-selective filters for single-mode fiber WDM systems using Fabry-Perot interferometers", APPLIED OPTICS, Vol. 26, No. 3, 1 February 1987.
184.	W. Gunning, J. Pasko, J. Tracy, "A liquid crystal tunable spectral filter: visible and infrared operation", SPIE Vol. 268 Imaging Spectroscopy (1981).
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